



# RCQ REVIEW

Newsletter of the Office of Regulatory Compliance and Quality  
United States Army Medical Research Materiel Command

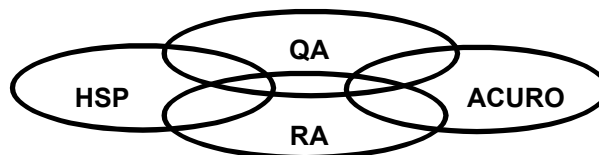
## INSIDE THIS ISSUE:

Message from the DRCQ	1
HSP & RA Updates	
♦ Medical Care for Research Related Injury	2
♦ Adverse Reaction Reporting for TSG IND Protocols	2
QA Updates	
♦ Equipment Qualification	5
♦ CCQAS	6
♦ BLS	7
♦ Kudos	7
ACURO Updates	
♦ Personnel Updates	8
RCQ Hails and Farewells	8
Tips for the Holiday Season	9
Lessons	10
Helpful Links	10

## SPECIAL POINTS OF INTEREST:

- ♦ MCRRRI Update
- ♦ CCQAS Update
- ♦ BLS

## Office of Regulatory Compliance and Quality



## MESSAGE FROM THE DEPUTY, REGULATORY COMPLIANCE AND QUALITY

### *Message from the Deputy, Regulatory Compliance and Quality...*



Holiday Greetings from the Staff of RCQ. It has been our pleasure to serve you in 2003 and we look forward to providing you with even better service in 2004.

Our second issue of the RCQ review provides you with a number of important regulatory updates and insights. Late this fall the Army Surgeon General approved a change in the Human Subjects Research Review Board's policy regarding medical care for research-related injury – in this issue our attorney-advisor explains the revised policy. Ms Duchesneau and COL Pierson clarify the HSRRB requirements for reporting adverse-events and unanticipated problems encountered in the conduct of human subjects research. The Quality Assurance Branch tackles the challenge of "equipment qualification" in the context of FDA-regulated work and provides an update as to MPMC's system for health care provider credentials management. We conclude with our Hail and Farewells for 2003.

In 2004 RCQ will begin a robust schedule of staff assistance visits to assess and assist our Subordinate Commands' Human Subjects Protection Programs. Our Regulatory Affairs Branch is positioning itself to provide advisory support to investigators during protocol development and the Quality Assurance Branch is working closely with the MeRITs initiative to develop training solutions for the Command. Finally our Animal Care Use and Review Office is making great strides in addressing our non-human primate shortages. The RCQ Staff wishes you the happiest and safest of Holidays.

LAURA R. BROSCH  
COL, AN  
Deputy for Regulatory  
Compliance and Quality

(Continued on page 3)

continuation of the research, to identify whether changes to the informed consent are required, and to assess whether subjects should be informed of additional risks and be re-consented.

The human subjects protection regulations 32 CFR 219 and 45 CFR 46 require that IRBs have written procedures for ensuring prompt reporting to the IRB, institutional officials, and the department or agency head of any unanticipated problems resulting in risks to subjects or others. Note that nowhere in these regulations are the words “adverse event.” IRBs are responsible for determining what is meant by “prompt,” developing an appropriate reporting procedure, and communicating this procedure to those engaged in research within the IRB’s purview. Reporting procedures will differ from institution to institution, so it is important for investigators to identify the reporting requirements for all entities involved in review of the protocol and to clearly define the notification procedure within the protocol. The HSRRB has outlined its procedure in HSRRB Policy Memorandum 02-01, “Reporting to the HSRRB Unanticipated Problems Involving Risks to Subjects and Others” which can be found on the Human Subjects Protection page of the RCQ website. Reports submitted to the HSRRB fulfill the requirement of notification of the department or agency head.

What is meant by “any unanticipated problems resulting in risks to subjects or others?”

This statement encompasses more than what one usually thinks of as “adverse events.” “Problems involving risk” may not necessarily result in physical harm. For example, losing a subject’s study records containing identifiable private information results in the risk of breach of confidentiality. Confidentiality may or may not be breached, but either way this would be a reportable event. Another example would be administering the wrong agent to a subject at one time point in a series of vaccinations. Risks to others must also be reported. For example, inoculation of a household contact in a smallpox vaccine trial would be a reportable event. Problems resulting in risks to research team members are also reportable.

When the research involves a FDA-regulated product,

there are also requirements for reporting to the Sponsor and the FDA in addition to the IRB.

21 CFR 312.32 provides definitions for a serious adverse drug experience and an unexpected adverse drug experience:

**21 CFR 312.32 provides definitions for a serious adverse drug experience and an unexpected adverse drug experience.**

“Serious adverse drug experience: Any adverse drug experience occurring at any dose that results in any of the following outcomes: Death, a life-threatening adverse drug experience, inpatient hospitalization or prolongation of existing hospitalization, a persistent

or significant disability/incapacity, or a congenital anomaly/birth defect. Important medical events that may not result in death, be life-threatening, or require hospitalization may be considered a serious adverse drug experience when, based upon appropriate medical judgment, they may jeopardize the patient or subject and may require medical or surgical intervention to prevent one of the outcomes listed in this definition (21CFR 312.32).”

**“Unexpected adverse drug experience:** Any adverse drug experience, the specificity or severity of which is not consistent with the current investigator brochure; or, if an investigator brochure is not required or available, the specificity or severity of which is not consistent with the risk information described in the general investigational plan or elsewhere in the current application, as amended (21CFR 312.32).”

In addition, ICH E6 guidelines define an adverse event as: "...any untoward medical occurrence in a patient or clinical investigation subject administered a pharmaceutical product and which does not necessarily have a causal relationship with this treatment. An adverse event can therefore be any unfavorable and unintended sign (including an abnormal laboratory finding), symptom, or disease temporally associated with the use of a medicinal (investigational) product, whether or not related to the medicinal (investigational) product."

The HSRRB uses the above-cited definitions to define serious adverse event and unexpected adverse event. Unanticipated problems are those problems that are not described in the protocol or other study documents. The current HSRRB policy requires that any unanticipated problems involving risks to subjects or

(Continued on page 4)

(Continued on page 5)



312.32 (i.e., those that result in death, life-threatening situations, hospitalization, or prolongation of hospitalization). Immediate reporting means that at the time the investigator, a sub-investigator, or a clinical research coordinator becomes aware of the event, that the available information about the event is reported by the fastest means available (phone, fax, or e-mail).

To simplify reporting with U.S. Army Surgeon General (TSG)-sponsored investigational drugs and devices,

notification of the HSRRB at 301-619-2165 or fax to 301-619-7803 will result in notification to the Sponsor. The RCQ staff will notify the U.S. Army Medical Materiel Development Activity (USAMMDA - TSG Sponsor's Representative) about the event upon receipt of a report involving a TSG-sponsored IND.

To facilitate the reporting, the call or fax should make clear that the report involves a TSG-sponsored IND, the name of the product, and the IND number assigned by the FDA.

**312.64(b).**



## EQUIPMENT QUALIFICATION – WHAT IS THAT?

What do you mean, “Is my equipment working properly? I get good results don’t I?” or, “My customers seem satisfied.” Do you? Are they? How do you know the results you are obtaining are “good” or satisfactory? First, you rely on a piece of equipment to analyze or perform some function. Then you add reagent or material to create a reaction. Then the machine performs as you expect it to and yields a result or a product. But how do you know that piece of equipment is performing to the standards you expect it or how do you know if you use another similar piece of equipment that you obtain the same results or product? In a regulated industry (of which we are a part for many of the products we test, develop or produce) the regulator (FDA) expects us to know the answer to those questions. While this may be the first time you have heard it, assuring equipment meets the criteria it purports to meet is not a new concept. This concept is known as “Equipment Qualification”.

Equipment Qualification is the sum total of ensuring that a piece of equipment is appropriate for its intended use. There are 4 different phases of qualifications:

- Design qualification – Conducted at the development stage of the lifecycle of the equipment and consists of setting functional and performance specifications. Functional and performance specifications are considered when re-

requesting a piece of equipment that you would consider suitable for conducting the analysis or making a product.

- Installation qualification – The purpose of installation qualification is to determine that the equipment is received as designed and specified, that it is properly installed in the selected environment you intend to use it and that the environment is suitable for the operation and use of the equipment.
- Operational Qualification – The process of demonstrating that the equipment will function according to specification in the selected environment.
- Performance Qualification – This phase demonstrates that the equipment consistently performs according to the specification appropriate for its use.

Completing all phases requires documentation to demonstrate to the non believer (auditor) that the equipment is qualified. Each phase of qualification requires a protocol, written and reviewed by the individuals conducting the testing as well as the recipient of the equipment. Each protocol must be approved by Quality Assurance prior to the conduct of the testing. Testing results and a study report reviewed and ap-

(Continued on page 6)

upon the amount of repairs required, at a minimum operational qualification must be completed and possibly performance qualification. Thus, equipment qualification is not a one time occurrence and the need for re-evaluation of the suitability of the equipment continues throughout the functioning life of the equipment.

Effective 22 April 2003, the following list of providers/practitioners/ancillary personnel have been identified as critical for credentials management and will be supported by Centralized Credentialing Quality Assurance System (CCQAS):

Providers/Practitioners/Ancillary Personnel	
All physicians	All clinical psychologists
All dentists	All occupational therapists
All nurse providers – Advanced Practice Nurses, Nurse Practitioners, Nurse Midwives, CRNAs, etc.	All audiologists
All physical therapists	All speech pathologists
All podiatrists	All physician assistants
All optometrists	All chiropractors
All clinical dieticians	All dental hygienists
All social workers	All mental health counselors
All marriage and family therapists	All professional counselors

These requirements apply to:

1. **Active Duty** - Active duty record initiation will include not only staff, but also trainees in Service programs, Service sponsored civilian training, or long term civilian schooling (anyone counting against end strength).
2. **Reserve/National Guard**
3. **GS Civilian**
4. **Contractors**, and
5. **Providers working under resource sharing agreements**

The execution of this undertaking will be completed in two phases. Phase I includes establishing records for  
(Continued on page 7)

(Continued from page 6)

all physicians and dentists by 31 January 2004, to include, confirmation of the accuracy of this data with the providers. Additionally, needed by this date as well are expected completion dates to establish records for all the remaining provider categories in the list. Implementation of this latter process constitute phase II. Phase II is to be completed no later than 1 March 04.

Entering registered nurses, licensed practical nurses and all licensed vocational nurses is being delayed to focus on providers first; however, NLT 31 January 2004, the following is being requested:

- The mechanism you have established to track licensure among these three groups and how their professional credentials can be validated independently by an external source
- The operational mechanism you have established to provide the current status of the credentials of these individuals to gaining facilities when such individuals are transferred, deployed, or sent for back-fill missions.

HQ, USAMRMC Licensure Credentialing and Privileging Office will facilitate the execution of this policy via scheduled Staff Assistance Visits (to begin Jan 2004) with the affected USAMRMC Major Subordinate Commands.

## MEDCOM'S POLICY ON BASIC LIFE SUPPORT

MEDCOM's Policy on Basic Life Support (BLS) or Higher Level Training Course (effective 13 March 2001), is superseded by the current policy, effective 18 April 2003, which states:

***As of October 1999, all healthcare personnel assigned to duties involving the provision of patient care must have current BLS training and certification. Current Advanced Cardiac Life Support (ACLS) or other advanced certification does not supersede BLS completion.***

***Commanders may grant exceptions to this requirement on a case-by-case basis for individuals such as part-time civilian consultants and faculty members. Said exceptions must be documented.***

Per USAMRMC's Command Policy 2003-01, accessible upon request from this office, USAMRMC Licen-

sure, Credentialing and Privileging Program, the Licensure, Credentialing and Privileging Office at HQ, USAMRMC, will

work with the USAMRMC Laboratory/Institute Commanders/Directors and their appointed Licensure, Credentialing and Privileging POC to ensure all assigned healthcare personnel are BLS trained and certified per MED-COM's BLS Policy.

USAMRMC's BLS training and certification goal is to be 100% compliant NLT 18 April 2004.

HQ, USAMRMC Licensure Credentialing and Privileging Office will facilitate the execution of this policy via scheduled Staff Assistance Visits (to begin Jan 2004) with the affected USAMRMC Major Subordinate Commands.

**USAMRMC's BLS training and certification goal is to be 100% compliant NLT 18 April 2004.**

## KUDOS FOR USAMMA

Please join us in congratulating the United States Army Medical Materiel Agency (USAMMA) for their 8 October 2003 International Organization for Standardization (ISO) 9000 Certification of their Quality Management System which supports the Maintenance Engineering and Operations Directorate (MEOD) and the MEOD's Depot level maintenance operations located at Tobyhanna, Pennsylvania, Hill Air Force Base, Utah, and Tracy California.

This certification was granted by SGS International Certification Services, Inc.

## PERSONNEL UPDATES

## RCQ HAILS AND FAREWELLS

A portrait of Dr. Rakesh Kumar, a middle-aged man with dark hair, wearing a light blue shirt and a patterned tie. He is smiling slightly and looking towards the camera.

(Continued on page 9)



(Continued from page 8)

MRMC's human research protection program. In addition, Dr. Mittal is also assisting in the development and completion of the various regulatory documents, such as IRB membership rosters, assurances of compliance, and required written policies and procedures. Dr. Mittal can be contacted at 301-619-6657 or [Kamal.Mittal@det.amedd.army.mil](mailto:Kamal.Mittal@det.amedd.army.mil).

Mr. Richard Potter joins the Regulatory Affairs branch after a distinguished career as a Public Health Service Officer with the Food and Drug Administration. Rich most recently served as a scientific reviewer in the Division of Hematology of CBER where he reviewed NDAs, 510ks, and decision making processes regarding clearance or approval of new medical devices and drugs used in blood banking. Within RCQ Rich will be

working on policy review and development. He will also be conducting regulatory reviews of investigational drug and device protocols. Rich can be contacted at 301-619-6241 or [Richard.Potter@det.amedd.army.mil](mailto:Richard.Potter@det.amedd.army.mil).



Mr. Richard Potter,  
Regulatory Affairs  
Scientist

Unfortunately, the RCQ family has lost several members of our team. We would like to say farewell to Ms. Robin Dillner, Ms. Joyce O'Brien, Dr. Suzanne Pursley-Crotteau, and Ms. Michelle Von Reichenbach. RCQ wishes these individuals the best of luck in their future endeavors. They will be missed dearly.

## SAFETY TIPS FOR THE HOLIDAY SEASON

Provided by the Fort Detrick Safety Bulletin at <http://www.detrack.army.mil>

**Fireplaces:** You should not try to burn evergreens or wreaths in the fireplace or in a wood stove to dispose of them. They are likely to flare out of control and send flames and smoke into the room. Also, do not burn wrapping paper in the fireplace because it often contains metallic materials which can be toxic if burned.

**Candles:** Never use lighted candles near trees, boughs, curtains/drapes, or with any potentially flammable item.

**Plants:** Small children may think that holiday plants look good enough to eat. But many plants can cause severe stomach problems. Plants to watch out for include: mistletoe, holly berries, Jerusalem cherry, and amaryllis. Keep all of these plants out of children's reach.

**Food and Cooking:** The holidays often mean preparing large meals for family and friends. Wash hands, utensils, sink, and anything else that has come in contact with raw poultry.

**Alcohol, Parties & Driving:** Being a smart party host or guest should include being sensible about alcoholic drinks. More than half of all traffic fatalities are alcohol-related. Use designated drivers, people who do not drink, to drive other guests home after a holiday party.

**Stress:** The holiday season is one of the most stressful times of the year. You can't avoid stress completely, but you can give yourself some relief. Allow enough time to shop rather than hurry through stores and parking lots. Only plan to do a reasonable number of errands. When shopping, make several trips out to the car to drop off packages rather than trying to carry too many items. Take time out for yourself. Relax, read, or enjoy your favorite hobby at your own pace.



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Office of Regulatory Compliance & Quality  
504 Scott Street  
Fort Detrick, MD 21702

Phone: 301-619-6977

DSN: 343-6977

Fax: 301-619-4164

Email: [Brenda.Meredith@det.amedd.army.mil](mailto:Brenda.Meredith@det.amedd.army.mil)

Managing Editor: Brenda Meredith  
Co Editor: Shannon Lertora

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Visit us online:

<http://mrmc.detrack.army.mil>

## SHARE YOUR LESSONS LEARNED

What does "Lessons Learned" mean? It most often means learning by that most memorable and painful of teachers - Experience.

The USAMRMC RCQ Lessons Learned Program promotes the sharing of knowledge across the USAMRMC complex with specific emphasis on lessons learned relevant to Human Subjects Protection, Quality Assurance and Regulatory Compliance in general. The result of sharing lessons learned are improved efficiencies and effectiveness, reduced risk and waste, as well as acceleration of remediation project closure.

The benefits of information sharing via the USAMRMC RCQ Lessons Learned Program include:

- Improved Safety
- Enhanced Cost Effectiveness
- Greater Efficiency
- Better Operational Results
- Fewer Repeat Mistakes

Share your stories, experiences and best practices with us and we will publish it in our quarterly newsletter. Email your lessons learned to [Brenda.Meredith@det.amedd.army.mil](mailto:Brenda.Meredith@det.amedd.army.mil) or [Shannon.Lertora@det.amedd.army.mil](mailto:Shannon.Lertora@det.amedd.army.mil).

## HELPFUL LINKS

- IRB Discussion & News Forum
- Army Publishing Directorate (Army Regulations)
- International Organization for Standardization
- FDA: 21 CFR Part 11
- FDA: Device Advice website
- DHHS: HIPAA impact on research
- FDA: Regulating in vitro diagnostic devices (IVDs)
- Georgetown University Bioethics Library & Databases
- Health and Human Services (HHS) Employee Locator
- National Institutes of Health (NIH)
- Army Medical Department (AMEDD)
- Defense Advanced Research Projects Agency
- DOD Small Business Innovation Research (SBIR)
- Material Safety Datasheets (MSDS) Search Page

<http://www.irbforum.com/>

<http://www.usapa.army.mil/>

<http://www.iso.ch/iso/en/ISOOnline.frontpage>

[http://www.fda.gov/ora/compliance\\_ref/part11/](http://www.fda.gov/ora/compliance_ref/part11/)

<http://www.fda.gov/cdrh/devadvice/>

<http://privacyruleandresearch.nih.gov/>

<http://www.fda.gov/cdrh/comp/ivdreg.html>

<http://www.georgetown.edu/research/nrcbl/>

<http://directory.psc.gov/employee.htm>

<http://www.nih.gov/>

<http://www.armymedicine.army.mil/default2.htm>

<http://www.darpa.mil>

<http://www.acq.osd.mil/sadbu/sbir/homepg.htm>

<http://www.msdssearch.com/Default.htm>